



SALES DEPARTMENT

Legal & Disclosures

This handbook is confidential and may not be reproduced.



Section 1

ABOUT THIS HANDBOOK

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HANDBOOK ACKNOWLEDGMENT



ABOUT THIS HANDBOOK

1.1 INTERACTIVE HANDBOOK

This handbook may compliment or work in conjunction with other company documents.

1.2 NON-STATIC DOCUMENT

This Policies and Procedures Handbook is subject to revision at any time. Auben Realty continually re-evaluates the contents of this manual and updates any legal requirements or necessary changes in labor or operating policies. It is the responsibility of personnel and independent contractors under agreement with Auben Realty to remain aware of, and to review, any changes to the Policies and Procedures Handbook. It is also the responsibility of personnel and independent contractors under agreement with Auben Realty to bring any discrepancies or questions regarding the Policies and Procedures Handbook to the attention of management.

1.3 HANDBOOK CONFIDENTIALITY / NON-DISCLOSURE

The material within the Policies and Procedures HANDBOOK is confidential. Auben Realty personnel and independent contractors under agreement with Auben Realty are not to disclose this material to owners, tenants, vendors, or to the public. Auben Realty personnel and independent contractors under agreement with Auben Realty are not to disclose any trade secrets of Auben Realty. This includes, but is not limited to, the following examples:

- Management fees, commissions, referrals, and any other monies
- Financial information
- Personnel compensation
- Personnel records
- Personnel conversations
- Client records or conversations
- Management accounts
- Real estate
- Marketing and/or strategic plans
- Company projects



1.4 POLICIES & PROCEDURES HANDBOOK ACKNOWLEDGMENT

The Policies and Procedures Handbook is for the use of Auben Realty personnel and independent contractors under agreement with Auben Realty only. Auben Realty personnel and independent contractors cannot remove the Policies and Procedures Handbook, or any other manual, from the Auben Realty office without explicit permission from management.

It is the responsibility of personnel and independent contractors to understand, remember, and refer to the enclosed material when necessary. If there is any confusion regarding the material, it is the responsibility of personnel and independent contractors to discuss this with management as soon as possible. Personnel are to adhere to any directive from management, whether written or verbal.

The printed material within this handbook is not for public distribution. Therefore, Auben Realty personnel and independent contractors under agreement with Auben Realty are prohibited from sharing any form of this printed information with prospective and/or current clientele, vendors, or the public. Auben Realty expects all personnel and independent contractors to follow the guidelines of this policy when in contact with prospective and/or current clientele, vendors, or the public.

Name of Employee or Independent Contractor

Signature of Employee or Independent Contractor

Date

***Please see Appendix or Management for a copy of this document.**



Section 2

WHO WE ARE

- 2.1 MISSION STATEMENT
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- 2.3 OUR MISSION
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WHO WE ARE

2.1 MISSION STATEMENT

Our mission is to make our investors, ourselves, and our communities richer, one home at a time.

We achieve this through the services of Project Management, Property Management, and Real Estate Sales, in accordance with the Georgia Department of Real Estate (Augusta) and the Tennessee Real Estate Commission (Chattanooga), and the South Carolina and North Carolina Real Estate Commissions, abiding by the ethics of the National Association of REALTORS®, NARPM®, and the National Association of Residential Portfolio Managers.

2.2 OUR VISION

Our goal is to be a leader in real estate investment and community building, while staying true to ourselves.

2.3 OUR MISSION

To make our investors, ourselves, and our communities richer, one home at a time.

2.4 WHAT WE DO

Auben Realty specializes in real estate investment and offers the following services:

- Project Management
- Property Restoration
- Leasing & Property Management
- Investment Sales
- Real Estate Sales



2.5 LEGAL IDENTITY

Auben Realty is a Georgia Limited Liability Corporation, and a Tennessee Limited Liability Corporation.

2.6 COMMERCIAL LOCATION

Auben Realty is located at:

1918 Central Ave. Augusta GA 30904

5959 Shallowford Rd, Suite 517, Chattanooga, TN 37421

2.7 COMPANY BIOGRAPHY

Founded in Augusta, Georgia by an agent and a single-family home investor in the fall of 2009, Auben Realty has experienced annual growth every year since its inception. A full-service real estate brokerage, Auben Realty specializes in property management, investment sales, and project management. We provide our real estate investors the confidence their property is being managed by a reputable brokerage that is knowledgeable and committed to the evolving industry of single-family property management. Along with the commitment of our clients, our mission is to improve our communities one home at a time. As of March 1, 2015, Auben Realty operates in and services Chattanooga, Tennessee, and surrounding areas. As of 2018, Auben Realty has provided sales services to various markets in the states of South Carolina and North Carolina. Look for continued growth and expansion throughout the southeast!

2.8 CORE VALUES – HOW WE WORK EVERY DAY!

Integrity And Transparency

We must always operate with highest morals and standards. When we mess up, we own it. No finger pointing. Correct it, make it right and learn from the mistake. Our intentions must always be clear. Relationships are based on trust, and our clients must never be given a reason not to trust Auben Realty.



Solution-Oriented

Problems will arise. Our focus should be on a positive resolution. When mistakes happen: Learn! Analyze the situation. Identify what went right, where we went wrong and how to get better. We do whatever it takes in every situation. We win together.

Dedication And Adaptability- Creativity Defines Our Future

Life is not always black and white. Sometimes we must step back, analyze, regroup, and attack with a different plan of action. Our end result should be clearly defined. As the industry/market changes, so should our approach.

Enthusiastic Leadership

We must strive to be innovators, and not simply followers. Many companies do what we do. We must set Auben Realty ahead of the rest by being the best in the game... Leaders in our niche. Have fun! That is not a suggestion...it is mandatory. Be professional but have a good time while doing it! Our community involvement must always portray our excitement and positive vibes.



Section 3

LEGAL DISCLOSURES

- 3.1 EQUAL OPPORTUNITY EMPLOYMENT
- 3.2 HARASSMENT FREE WORKPLACE POLICY



LEGAL DISCLOSURES

3.1 EQUAL OPPORTUNITY EMPLOYMENT

Auben Realty is an equal opportunity employer and will not discriminate on the basis of race, color, national origin, religion, age, genetic characteristics, marital status, sexual orientation, gender identity, physical or mental disability and any other characteristic protected by applicable federal, state or local law. Auben Realty will make a reasonable accommodation to any known physical or mental limitations of a qualified applicant or employee with a disability unless the accommodation would impose an undue hardship on the operation of Auben Realty or create a direct threat of harm to the employee, applicant, or others.

This policy applies to all practices including, but not limited to, hiring, placement, promotion, transfer or demotion, recruiting, advertising or solicitation, compensation, training, layoff, recall, termination, participation in social or recreational functions, and use of employee facilities.

As an equal employment opportunity employer, Auben Realty insists that all employees refrain from any act that is designed to cause unlawful discrimination against a fellow employee or applicant for employment. The adherence by all employees to the goals and policies of equal opportunity employment will be monitored and enforced. Any employee breaching the duty to ensure that all persons enjoy equal opportunity employment with Auben Realty will be subject to corrective action, up to and including termination.



3.2 HARASSMENT FREE WORKPLACE POLICY

Auben Realty is committed to providing a harassment free workplace. It is our policy to prohibit harassment occurring in the workplace or any other location where a company sponsored event occurs. This policy applies to harassment of any employee by another employee, non-employee, management representative, or business guest. It includes, but is not limited to, sexual harassment on the basis of race, color, sex, age, religion, national origin, or disability and any other characteristic protected by applicable federal, state or local law.

All forms of harassment are prohibited.

Examples of various types of harassment are:

- Bullying
- Racial Harassment
- Personal Harassment
- Harassment on Grounds of Sexual Orientation
- Harassment of Disabled People
- Age Harassment
- Stalking
- Sexual Harassment

All employees and non-employees must be allowed to work in an environment free from unsolicited and unwelcome sexual overtures. Sexual harassment debilitates morale and interferes in the work productivity of its victims and co-workers. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical contact of a sexual nature constitute sexual harassment when:

- Submission to such conduct is made a term or condition of an individual's employment either explicitly or implicitly.
- Submission to or rejection of such conduct by an individual is used as the basis for employment decision affecting such individuals.
- Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive work environment.



Auben Realty provides an open line of communication. If you have any concerns or questions or if you feel you have been harassed (victim of) or have witnessed an incident of sexual or other harassment you are expected to immediately report the matter to your manager. It is an employee's responsibility to bring harassment concerns to the attention of members of manager. Your report will be promptly investigated in as confidential a manner as possible. If you do not believe your initial reports prompted appropriate remedial action, you should discuss the issue with your manager. It is the responsibility and expectation of employees to report witnessed harassing and/or hostile work environment to your management team. Employees who report legitimate harassment or hostile work environments will not be retaliated against and Auben Realty will not tolerate anyone taking retribution against employees who make good faith complaints/reports. Auben Realty takes a tough stance on the issues of sexual and other harassment. Violations of this policy will not be tolerated and will result in prompt corrective action, up to and including termination of employment. While the preferred method of reporting human relations issues is to your local management team, Auben Realty has established open communication with your manager.



Section 4

INDEPENDENT CONTRACTOR

- 4.1 DESCRIPTION
- 4.2 AUTOMOBILE REQUIREMENTS
- 4.3 EDUCATION
- 4.4 PERSONAL ASSISTANTS

Contractor

INDEPENDENT CONTRACTOR

4.1 DESCRIPTION

Salespersons are independent contractors, not employees. Auben Realty will not withhold income taxes nor social security taxes for independent contractors. The salesperson is under the direction of the broker as to the results of the work, but not the methods by which such results are accomplished. Auben Realty and the salesperson will execute an Independent Contractor Agreement that defines the relationship in detail.

It is the responsibility of the independent contractor to properly maintain his or her real estate sales license in accordance with local and state guidelines. Failure to meet continuation education requirements and/or mandatory real estate board fees may result in the suspension of the salesperson's license and therefore he or she cannot continue to contract with Auben Realty until the issue is sufficiently resolved. Please contact the Broker or Director of Sales with any concerns about maintaining proper licensure.

Please see the Independent Contractor Agreement in Appendix A.

4.2 AUTOMOBILE REQUIREMENTS

First impressions are lasting impressions. The appearance of a salesperson's automobile is as important as his or her personal appearance. The automobile is not required to be new but must be neat and clean. Air conditioning and heat will help to keep your client's comfort.

Your automobile should be in good mechanical order. Reliability is especially important. Safety is everything. The automobile is a traveling office and should be stocked with the tools of our business, such as: maps, business cards, forms, contracts, tape measure, flashlight, hammer, screwdriver, pliers, WD-40, "under contract" signs, and nuts & bolts for signs.



4.3 EDUCATION

Employees and Independent Contractors should not undertake an assignment for a client or a customer unless they have the training and experience to do the job well. We cannot expect to be called a 'professional' organization without making an investment of time and money on education. We encourage our salespersons to continue learning better ways to provide service. There are many resources for education, including: Real estate seminars REALTORS® Institutes Sales meetings Board of REALTORS® meetings State and National Association Conventions Books Magazines ("Real Estate Today," etc.) University courses.

4.4 PERSONAL ASSISTANTS

We believe that a personal assistant can help a salesperson be more productive in every aspect of his or her business. Personal assistants can do many of the tasks which do not require marketing and sales skills, such as preparing brochures on properties for sale, inserting advertising, measuring listed properties, placing signs on properties and even, when properly trained, comparative market analyses.

If a personal assistant is engaged by a salesperson of this office Auben Realty, the salesperson, and the personal assistant must enter into a written agreement which:

- states that the assistant is an employee of the salesperson and not of Auben Realty.
- sets forth the compensation to be paid to the assistant, including any bonuses.
- outlines the duties of the personal assistant, as well as a list of activities which an unlicensed personal assistant cannot perform in this state.
- gives Auben Realty the right to approve the continued employment of the assistant from time to time. The approval shall not be unreasonably withheld, but if the assistant is causing problems in the operations of the Company, the assistant will not be allowed to continue to work in the offices of the Company.

Salespersons may decide to hire licensed personal assistants because of additional duties which may be performed. Often the licensed assistant will work under a split-commission basis. A salesperson may not pay a portion of the commission to the assistant. Commissions split between the salesperson and the personal assistant must be paid by the broker.

Personal assistants who work in the office may use many of the office facilities, such as parking areas, office space, telephones, and supplies. Please see the Expenses Section of the handbook for further information about office fees.